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By: 

Rebecca M. Whitelock

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

GINTER et al.

Application No.: 09/398,665

Filed: September 17, 1999

For: DIGITAL CERTIFICATE  
SUPPORT SYSTEM, METHODS  
AND TECHNIQUES FOR SECURE  
ELECTRONIC COMMERCE  
TRANSACTION AND RIGHTS  
MANAGEMENT (as amended)

)  
) Confirmation No.: 1372

)  
) Group Art Unit: 2132

)  
) Examiner: Justin T. DARROW

**Mail Stop - AMENDMENT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicant brings to the attention of the Examiner the documents on the attached listing. This Information Disclosure Statement is being filed before the mailing date of a first Office Action after the filing of a Request for Continued Examination in the above-referenced application.

Each document listed in this Information Disclosure Statement was first cited in a communication from the Japanese Patent Office in a counterpart foreign application.

Copies of the listed foreign and non-patent literature documents are attached.

English language translations, summaries or abstracts of most of the non-English documents are attached to each respective reference. Additionally, no English language translations or abstracts are available for two of the cited references, C1 and C6 on the attached form PTO/SB/08. In lieu of a statement of relevance or translation of the these references, English language versions of two office actions from the Japanese Patent Office in two of the corresponding applications citing these references and setting forth the relevance thereof are enclosed.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.


If there is any fee due in connection with the filing of this Statement, please  
charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: June 10, 2005

By: \_\_\_\_\_

  
Andrew B. Schwaab  
Reg. No. 38,611

Finnegan Henderson Farabow  
Garrett & Dunner L.L.P.  
901 New York Ave., N.W.  
Washington, D.C. 20001  
Attorney direct (650) 849-6643

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

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of

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## Complete if Known

Application Number	09/398,665
Filing Date	September 17, 1999
First Named Inventor	GINTER et al.
Art Unit	2132
Examiner Name	Justin T. DARROW
Attorney Docket Number	07451.0005-01000

Note: Submission of copies of U.S. Patents and published U.S. Patent Applications is not required.

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation <sup>4</sup>
		Country Code <sup>1</sup> Number <sup>2</sup> Kind Code <sup>3</sup> (if known)				
		JP 01 248891 A	10-04-1989			Abstract only
		JP 01 296363 A	11-29-1989			Abstract only
		JP 01 68853 A	03-14-1989			Abstract only
		JP 04 117548 A	04-17-1992			Abstract only
		JP 04 504794	08-20-1992			Abstract only
		JP 05 173892 A	07-13-1993			Abstract only
		JP 05 258463 A	10-08-1993			Abstract only
		JP 06 152585 A	05-31-1994			Abstract only
		JP 06 161719 A	06-10-1994			Abstract only
		JP 06 250924	09-09-1994			Abstract only
		JP 06 501120	01-27-1994			Abstract only
		JP 07 319681 A	12-08-1995			Abstract only
		JP 61 121145 A	06-09-1986			Abstract only
		JP 63 129564 A	06-01-1988			Abstract only
		JP 63 289646 A	11-28-1988			Abstract only

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation <sup>6</sup>
	C1	"Information Society Facing a Turning Point, Information Flood, How to Stand Against Flood of Copies," <i>Nikkei Byte</i> , 92:316-319, 1991.	Unavailable
	C2	GARRETT et al., "Toward an electronic Copyright Management System," <i>J. of the Amer. Soc. for Info.</i> , 44(8):468-473, 1993.	Yes
	C3	KOZUKA et al., "Electronic Magazine Editing Software for 3DO," <i>National Technical Report, Matsushita Electric Industrial Co., Ltd.</i> , 40(6):88-97, 1994.	Abstract only
	C4	ROZENBLIT, Moshe, "Secure Software Distribution," <i>IEEE Network Operations and Management Symposium</i> , 2:486-496, 1994.	Yes
	C5	SEKI et al., "A Proposal for New Software Distribution System Using a Secret Code," <i>Research Report of Information Processing Societies</i> , 93(64):19-28, 1993.	Abstract only

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	09/398,665
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Examiner Name	Justin T. DARROW
Attorney Docket Number	07451.0005-01000

**NON PATENT LITERATURE DOCUMENTS**

C6	TERADA, Minoru, "Exhausting Software," <i>bit</i> , Kyoritsu Shuppan Co., Ltd., 26(10):12-18, 1994.	Unavailable
C7	TORII et al., "System Architecture for Super Distribution," <i>Technical Research Report of Institute of Electronics, Information and Communication Engineers</i> , 94(240):59-66, 1994.	Abstract only
C8	UEKI et al., "Accounting Processing in Right Management Mechanism for Super Distribution," <i>Study Report of Information Processing Societies</i> , 90(1):1-10, 1990.	Abstract only

Examiner  
SignatureDate  
Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.